

Request for Records Disposition Authority

Records Schedule Number DAA-0436-2016-0001

Schedule Status Approved

Agency or Establishment Bureau of Alcohol, Tobacco, Firearms, and Explosives

Record Group / Scheduling Group Records of the Bureau of Alcohol, Tobacco, Firearms, and Explosives

Records Schedule applies to Major Subdivision

Major Subdivision Office of Professional Responsibility and Security Operations (OPRSO)

Minor Subdivision Internal Affairs Division (IAD)

Schedule Subject Addendum to Internal Affairs Professional (IAPro) system records schedule

Internal agency concurrences will be provided No

Background Information

The IA Pro System for tracking Internal Affairs Division investigative files is an Oracle database organized by case number. It contains information about investigations of allegations related to employee integrity and misconduct, including complainant data, employee biographic data, incident data, investigative data, and recommended action. Inclusive dates of records in the master database: 10/01/2002 to present.

IA Pro was scheduled by NARA in Records Schedule DAA-0436-2013-0005, approved 03/10/2016. DAA-0436-2013-0005 includes sub-items covering two categories of investigative case files: those resulting in administrative action (10 year retention after cutoff), and those resulting in legal action (20 year retention after cutoff.)

This schedule is submitted to describe and provide disposition instructions for two additional categories of investigations files that are tracked by IA Pro: 1) files containing information or allegations of a general nature that do not relate to a specific investigation, and 2) cases where the subject of the investigation is cleared of charges and no administrative or criminal action is taken.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0436-2016-0001

Sequence Number	
1	Cases Containing Information or Allegations Not Related to a Specific Investigation Disposition Authority Number: DAA-0436-2016-0001-0001
2	Cases Resulting in No Administrative or Criminal Action. Disposition Authority Number: DAA-0436-2016-0001-0002

Records Schedule Items

Sequence Number	
1	<p data-bbox="323 380 1316 457">Cases Containing Information or Allegations Not Related to a Specific Investigation.</p> <p data-bbox="323 474 1136 510">Disposition Authority Number DAA-0436-2016-0001-0001</p> <p data-bbox="323 527 1476 682">Cases containing information or allegations not related to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files that may be useful in Inspector General investigations.</p> <p data-bbox="323 699 901 735">Final Disposition Temporary</p> <p data-bbox="323 751 837 787">Item Status Active</p> <p data-bbox="323 804 790 840">Is this item media neutral? No</p> <p data-bbox="323 856 1501 934">Explanation of limitation Case tracking information maintained in an electronic system.</p> <p data-bbox="323 951 805 1081">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="323 1098 805 1192">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="323 1230 646 1266">Disposition Instruction</p> <p data-bbox="323 1283 1452 1402">Cutoff Instruction Close record upon determination that no further action is warranted. Cut off at the end of the fiscal year.</p> <p data-bbox="323 1419 1157 1455">Retention Period Destroy 5 year(s) after cutoff</p> <p data-bbox="323 1493 646 1528">Additional Information</p> <p data-bbox="323 1545 933 1581">GAO Approval Not Required</p>
2	<p data-bbox="323 1608 1125 1644">Cases Resulting in No Administrative or Criminal Action.</p> <p data-bbox="323 1661 1141 1696">Disposition Authority Number DAA-0436-2016-0001-0002</p> <p data-bbox="323 1713 1476 1791">Cases in which the allegations are unsubstantiated or false and the subject of the investigation is cleared of charges with no administrative or criminal action taken.</p> <p data-bbox="323 1808 901 1843">Final Disposition Temporary</p> <p data-bbox="323 1860 837 1896">Item Status Active</p> <p data-bbox="323 1913 790 1948">Is this item media neutral? No</p>

Explanation of limitation	Case tracking information maintained in an electronic system.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Cutoff Instruction	Close upon determination that no action will be taken. Cut off at the end of the fiscal year.
Retention Period	Destroy 6 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
04/22/2016	Certify	Gregory Carroll	ATF Records Officer	Office of Science and Technology - Resource Management Staff
06/17/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/23/2016	Submit For Certification	Gregory Schildmeyer	Contractor	Bureau - Bureau
06/23/2016	Certify	Gregory Carroll	ATF Records Officer	Office of Science and Technology - Resource Management Staff
06/30/2016	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/12/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/12/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/13/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist